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PTO/SB/21 (08-00)

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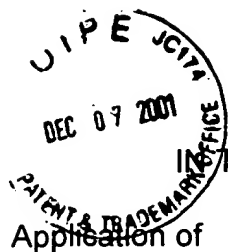
TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/887,606
	Filing Date	June 22, 2001
	First Named Inventor	Scarpino, et al.
	Group Art Unit	
	Examiner Name	
Total Number of Pages in This Submission		Attorney Docket Number TRD 021 IA

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return postcard
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Robert L. Showalter; Stevens & Showalter, L.L.P.
Signature	
Date	October 23, 2001

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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: October 23, 2001		
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of

Applicant(s) : Scarpino, et al.
Serial No. : 09/887,606
Filed : June 22, 2001
Title : FREQUENCY RESPONSES, APPARATUS AND
METHODS FOR THE HARMONIC ENHANCEMENT
OF AUDIO SIGNALS
Docket : TRD021IA

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on October 23, 2001.

Patricia L. H. 33,579
Attorney Reg. No.

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §§ 1.56, 1.97, AND 1.98

Applicants submit herewith patents, publications, and other information of which they are aware, which they believe may be material, as defined in 37 CFR § 1.56(b), to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56(a). While the information referred to in this Information Disclosure Statement may be material pursuant to 37 CFR § 1.56(b), the filing of this Information Disclosure Statement is not intended to, pursuant to 37 CFR § 1.97(h), constitute an admission that any patent, publication, or other information referred to is, or is considered to be, material to the patentability of this invention. Further, pursuant to 37 CFR § 1.97(g), the filing of this Statement should not be construed as a statement that a search has been made or that no other material information exists.

A listing of all items of information cited is attached on PTO Form PTO/SB/08, substitute form for 1449 /PTO. Copies of the items are enclosed for the convenience of the Examiner.

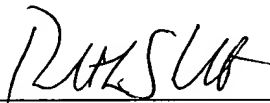
Docket No. TRD021IA

The two German applications cited (DE 20 25 844 A and DE 41 34 578 A1) were referenced by the European Patent Office as International Preliminary Examining Authority in a Written Opinion mailed October 18, 2001, in PCT/US00/33197 (WO 01/43118A1). Written English-language translations of the documents are not within the possession, custody or control of, or readily available to any individual designated in 37 CFR § 1.56(c), so translations are not provided.

It is believed that this Supplemental Information Disclosure Statement is being filed within the period set forth in 37 CFR § 1.97(b) because a first Office action on the merits has not been mailed. Therefore, no fee is required.

Respectfully submitted,

STEVENS & SHOWALTER, L.L.P.



Robert L. Showalter
Registration No. 33,579

7019 Corporate Way
Dayton OH 45459-4238
Telephone: (937) 438-6848
Facsimile: (937) 438-2124
E-mail: showalter@speakeasy.net

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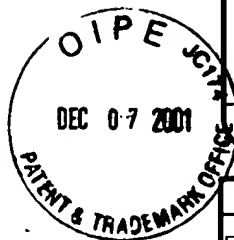
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Sheet	1	of	4
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Application Number	09/887,606
Filing Date	June 22, 2001
First Named Inventor	Scarpino, F.
Group Art Unit	
Examiner Name	
Attorney Docket Number	TRD0211A



U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		1,855,054		Johnson	04/19/1932	
		3,243,511		Erdman et al.	03/29/1966	
		3,370,125		Shaw et al.	02/20/1968	
		3,499,988		Watanabe et al.	03/10/1970	
		3,659,056		Morrison et al.	04/25/1972	
		3,985,977		Beaty et al.	10/12/1976	
		4,079,295		den Hollander	03/14/1978	
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		4,323,736		Strickland	04/06/1982	
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		4,692,852		Hoover	09/08/1987	
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		4,866,774		Klayman	09/12/1989	
		5,161,131		Borchardt et al.	11/03/1992	
		5,179,623		Dickopp et al.	01/12/1993	
		5,185,805		Chiang	02/09/1993	

FOREIGN PATENT DOCUMENTS

[illegible]

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Date
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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Sheet	2	of	4
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Attorney Docket Number	TRD0211A
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		Number	Kind Code ² (if known)			
		5,223,657		Takeuchi	06/29/1993	
		5,235,671		Mazor	08/10/1993	
		5,278,780		Eguchi	01/11/1994	
		5,323,467		Hermes	06/21/1994	
		5,361,306		Garcia	11/01/1994	
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		5,406,634		Anderson et al.	04/11/1995	
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FOREIGN PATENT DOCUMENTS

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet	3	of	4	Application Number	09/887,606
				Filing Date	June 22, 2001
				First Named Inventor	Scarpino, F.
				Group Art Unit	
				Examiner Name	
				Attorney Docket Number	TRD021IA

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Examiner Initials ¹	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		5,873,065		Akagiri et al.	02/16/1999	
		5,881,157		Lee et al.	03/09/1999	
		5,881,317		Hampsten et al.	03/09/1999	
		5,892,830		Klayman	04/06/1999	
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		5,910,904		Uramoto	06/08/1999	
		5,928,311		Leavy et al.	07/27/1999	
		5,944,672		Kim et al.	08/31/1999	
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		6,058,194		Gulli et al.	05/02/2000	
		6,111,181		Macon et al.	08/29/2000	
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		6,275,593	B1	Garcia et al.	08/14/2001	
		08/472,876		Garcia et al.		
		08/909,807		Garcia et al.		
		08/989,373		Garcia et al.		
		09/431,371		Scarpino et al.		

FOREIGN PATENT DOCUMENTS

Examiner Initials ¹	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
		DE	20 25 844	A	Mangelsdorff	12/02/1971		
		DE	41 34 578	A1	Moller	04/29/1993		
		EP	0 817 045	A2	Sun Microsystems Inc	01/07/1998		
		JP*	11-086008	A	Matsushita Electric	10/26/1989	*(Abstract)	
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		WO	99/30414	A1	True Dimensional Sound	06/17/1999		
		WC	01/13515	A1	True Dimensional Sound	02/22/2001		
		WC	01/43118	A1	True Dimensional Sound	06/14/2001		
		WO	01/50598	A2	True Dimensional Sound	07/12/2001		

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				Application Number	09/887,606
				Filing Date	June 22, 2001
				First Named Inventor	Scarpino, F.
				Group Art Unit	
				Examiner Name	
				Attorney Docket Number	TRD0211A
Sheet	4	of	4		

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		LAWRENCE R. RABINER; "Techniques for Designing Finite-Duration Impulse-Response Digital Filters"; IEEE Transactions on Communication Technology; April 1971, pages 188-195; Vol. 19, no. 2; IEEE Inc. New York	
		GARY A. NELSON, et al.; "High-Speed Octave Band Digital Filtering"; IEEE Transactions on Audio and Electroacoustics; March 1972, pages 58-65; Vol. 20, No. 1; IEEE Inc. New York	
		JOHN MARKUS; Modern Electronic Circuits Reference Manual; 1980, pages 53, 60 and 61; McGraw-Hill Book Company, New York	
		"Circuit 231: Entzerrer"; 273 SCHALTUNGEN, 1980, pages 174, 175; Elektor Verlag GmbH, Gangel Germany	
		FRANK A. SCARPINO; "Discrete Fourier Transform and Closed Form Fourier Series Digital Filters with Controlled Intersymbol Interference"; Dissertation Submitted to the School of Engineering; August 1987, pages 116-123; University of Dayton, Dayton Ohio	

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